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10269-13CON
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GROUP 3600

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Timothy Maxwell Keiser, et al.

Application No. : 09/465,607 Confirmation No. : 9080

Filed : December 17, 1999

For : COMPUTER-IMPLEMENTED SECURITIES
TRADING SYSTEM WITH A VIRTUAL
SPECIALIST FUNCTION

Group Art Unit : 3628

Examiner : Graham, Clement B.

New York, New York 10020
May 12, 2004Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,
 applicants hereby make the documents listed in Appendices A,
 B, C, D, E, F and G attached hereto of record in the above-
 identified patent application.

05/14/2004 AADDF01 00000056 09465607

180.00 OP

01 FC:1806

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /C.G./

Documents in Appendix A, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on April 11, 1996, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Documents in Appendix B, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on April 22, 1998, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Documents in Appendix C, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on June 7, 1999, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Documents in Appendix D, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on January 23, 2002, and are of record in parent U.S. Patent Application No. 09/184,571, filed November 2, 1998, Patent No. 6,505,174, issued January 7, 2003, from which priority is claimed.

Documents in Appendix E, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on August 2, 2002, and are of record in parent U.S. Patent Application No. 09/184,571, filed November

2, 1998, Patent No. 6,505,174, issued January 7, 2003, from which priority is claimed.

Documents in Appendix F, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on December 1, 1998, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Accordingly, pursuant to 37 C.F.R. § 1.98(d), copies of documents A-F are not provided. Copies of documents in Appendix G are provided.

This Statement is being submitted after the mailing of a First Office Action on the merits. Accordingly, applicants have enclosed a check in the amount of \$180.00 in payment of the fee for submission of an Information Disclosure Statement in accordance with 37 C.F.R. § 1.97 (c)(2). The Director is hereby authorized to charge payment of any additional fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075.

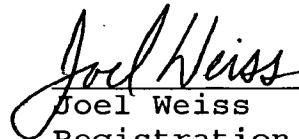
It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application.

Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

A duplicate copy of this Information Disclosure Statement is enclosed herewith.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

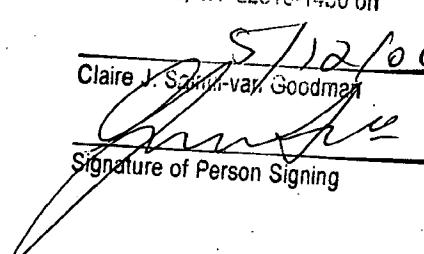


Joel Weiss

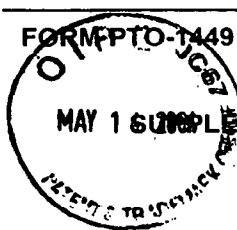
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Claire J. Schuh-van Goodman



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U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
10269-13CON
(HSX/001CON1)APPLN. NO.
09/465,607

MAY 16, 2001, SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

APPLICANTS
Timothy Maxwell Keiser,
et al.CONF. NO.
9080

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FILING DATE
December 17, 1999GROUP ART UNIT
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MAY 18 2004

GROUP 3600
U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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	4,597,046	6/1986	Musmanno et al.	364	408	
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	5,375,055	12/1994	Toher et al.	364	408	
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	5,692,233	11/1997	Garman, M.	705	36	
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	5,924,082	07/1999	Silverman et al.	705	37	
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	6,578,010	06/2003	Teacherson	705	14	

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						YES	NO
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	WO96/41315A1	12/1996	PCT				
	WO98/58333A1	12/1998	PCT				
	WO01/39056A1	5/2001	PCT				
	WO01/16825A1	03/2001	PCT				

EXAMINER

/Clement Graham/

DATE CONSIDERED

01/05/2009

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /C.G./

 SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 10269-13CON (HSX/001CON1)	APPLN. NO. 09/465,607
	APPLICANTS Timothy Maxwell Keiser, et al.	CONF. NO. 9080	
	FILING DATE December 17, 1999	GROUP ART UNIT 3628	

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	VENTURA COUNTY REVIEW; The Los Angeles Times; Dec. 15, 1998.

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Receipt date: 05/14/2004

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Sheet 3 of 3

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICESUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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